

# Chapter 12

## Reporting Requirements

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# Chapter 12

## Reporting Requirements

### Overview

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**Introduction** This chapter provides a review of reporting requirements applicable to a department's purchasing authority program as well as any other reports impacting the acquisition process. Also included in this chapter is access to a calendar of reports associated with State purchasing to assist departments with reporting requirements and submittal dates.

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# Topic 1 – Purchasing Authority Activity Reporting

## 12.1.0 Reporting

Departments must report to DGS/PD all transactions including amended and cancelled transactions executed under its purchasing authority. The categories of authority for transactions that must be reported are identified in [Chapter 1](#) – Purchasing Authority and may include but are not limited to:

- Purchasing Authority Purchase Orders (STD.65)
- Standard Agreements for IT Goods and Services Only (STD.213) with a completed Agreement Summary (STD.215) as the cover document.

Some transactions are reported directly to DGS/PD upon execution and, therefore, departments should not report those transactions as directed in this section. Submission of these transactions as directed in this section will result in duplication of DGS administrative fee charges to the department. These transactions include:

- Transactions entered directly into the Procurement Information Network (PIN).
- Transactions entered directly into the CalBuy System.
- Transactions executed electronically as allowed by the individual LPA, if the LPA specifically states that hard copy reporting is not required.

## 12.1.1 Due dates

Departments must submit a copy of each executed purchase document, regardless of the form used, no less frequently than monthly, by the tenth of the month following the reporting period. Departments may submit transactions more often than monthly if the department so chooses.

## 12.1.2 How to report

Departments must ensure that submitted transactions are:

- Batched separately by type of purchasing authority, non-IT and IT
- Batched separately by category of transaction
- Clear, legible, and complete in every detail

**Note:** Customer departments that have entered into standard agreements for consolidated data center services via Stephen P. Teale Data Center (TDC) or Health and Human Services Data Center (HHSDC) are not to submit copies of the standard agreement to DGS/PD. It is the responsibility of the data center to report these transactions in accordance with the data centers delegation granted by DGS/PD.

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## Topic 1 – Purchasing Authority Activity Reporting, Continued

### 12.1.3 Where to submit

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Departments' will submit transactions executed under their purchasing authority:

By IMS to:

Z-1

DGS/Procurement Division

Attn: Data Entry Unit - Second Floor  
707 Third Street, Second Floor North  
West Sacramento, CA 95605

By Mail to:

Department of General Services  
Procurement Division  
Data Entry Unit - Second Floor North  
P.O. Box 989052  
West Sacramento, CA 95798-9052

Hand-Delivered to:

DGS/Procurement Division  
Data Entry Unit  
707 Third Street, Second Floor North  
West Sacramento, CA 95605

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## Topic 1 – Purchasing Authority Activity Reporting, Continued

### 12.1.4 Summary Report

The option of using the Summary Report is no longer available. If a department is currently using the Summary Report and discontinuation of its use will adversely impact the department, the department should contact the PAMS to discuss an extension of time for its use.

**Exception:** Consolidated Data Centers (TDC and/or HHSDC) that conduct activities under Data Center Agreement Purchasing Authority (DIA) will continue to report their transactions using the summary report unique to the data center purchasing authority granted by DGS/PD.

### 12.1.5 Non- reportable transactions

The following procurement activities are not under DGS/PD-approved purchasing authority and should not be reported:

- Non-IT services that were not executed as an LPA order.
- Individual memberships.
- Organizational memberships in non-IT organizations.
- Opportunity purchases executed by District Agricultural Associations (DAA).
- CAL-Card transactions for non-LPA purchases valued less than \$5,000 that were executed without issuing a purchase document.
- Transactions executed using a Sub-Purchase Order (STD.40A), including those executed using a STD.65 when the STD.65 is used in lieu of the STD.40A.

### 12.1.6 Data center inter- agency quarterly report

**State data centers (TDC and/or HHSDC) that conduct activities under a DIA purchasing authority must submit the Data Center Interagency Agreement Quarterly Report on a quarterly basis by fiscal year, by the tenth of the month following the reporting period as follows:**

Reporting Period	Report is due no later than
July 1 <sup>st</sup> through September 30 <sup>th</sup>	October 10 <sup>th</sup>
October 1 <sup>st</sup> through December 31 <sup>st</sup>	January 10 <sup>th</sup>
January 1 <sup>st</sup> through March 31 <sup>st</sup>	April 10 <sup>th</sup>
April 1 <sup>st</sup> through June 30 <sup>th</sup>	July 10 <sup>th</sup>

**Note: When the report submission due date falls on a weekend or on a state-recognized holiday, reports will be due on the first next working day following the weekend or holiday.**

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## Topic 1 – Purchasing Authority Activity Reporting, Continued

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### 12.1.6 Data center inter-agency quarterly report (continued)

Click here to access the DIA Quarterly Report. [Word](#) [PDF](#)

Reports are addresses to

By IMS to:

Z-1

DGS/Procurement Division

Purchasing Authority Management Section

Attn: DIA Quarterly Report

707 Third Street Second Floor South

West Sacramento, CA 95605

By Mail to:

DGS/Procurement Division

Purchasing Authority Management Section, Second Floor South

Attn: DIA Quarterly Report

P.O. Box 989052

West Sacramento, CA 95798-9052

Hand-Delivered to:

DGS/Procurement Division

Purchasing Authority Management Section

Attn: DIA Quarterly Report

707 Third Street, Second Floor South

West Sacramento, CA 95605

## Topic 2 – Non-Competitively Bid (NCB) Contract Quarterly Reporting

### 12.2.0 NCB contract quarterly reporting

Departments granted purchasing authority for NCB contracting (non-IT and/or IT) are required to complete and submit an NCB Contract Quarterly Report reporting all NCB purchase documents valued at \$25,000.00 and under executed during the reporting period.

Click here to access the Non-Competitively Bid Contract Quarterly Report.

[Word](#) [PDF](#)

**Note:** NCB contract quarterly reporting is separate and in addition to the purchasing authority activity reporting discussed in Topic 1 of this [chapter](#).

### 12.2.1 Due dates

NCB quarterly reporting periods and the related submission dates are as follows:

Reporting Period	Report is due no later than
July 1 <sup>st</sup> through September 30 <sup>th</sup>	October 10 <sup>th</sup>
October 1 <sup>st</sup> through December 31 <sup>st</sup>	January 10 <sup>th</sup>
January 1 <sup>st</sup> through March 31 <sup>st</sup>	April 10 <sup>th</sup>
April 1 <sup>st</sup> through June 30 <sup>th</sup>	July 10 <sup>th</sup>

**Note:** When the report submission due date falls on a weekend or on a state-recognized holiday, reports will be due on the first next working day following the weekend or holiday.

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## Topic 2 – Non-Competitively Bid (NCB) Contract Quarterly Reporting, Continued

### 12.2.2 How to report

Departments must submit an NCB Contract Quarterly Report regardless of whether the department executed reportable transactions, quarterly by fiscal year, by the tenth of the month following the reporting period. Reports must be complete and legible and must be submitted as follows:

By IMS to:

Z-1

DGS/Procurement Division  
Purchasing Authority Management Section  
Attn: NCB Contract Quarterly Reporting  
707 Third Street Second Floor South  
West Sacramento, CA 95605

By Mail to:

DGS/Procurement Division  
Purchasing Authority Management Section, Second Floor South  
Attn: NCB Contract Quarterly Reporting  
P.O. Box 989052  
West Sacramento, CA 95798-9052

Hand-Delivered to:

DGS/Procurement Division  
Purchasing Authority Management Section  
707 Third Street, Second Floor South  
West Sacramento, CA 95605

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## Topic 2 – Non-Competitively Bid (NCB) Contract Quarterly Reporting, Continued

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### 12.2.3 What to report

A complete NCB contract quarterly report includes:

- NCB Contract Quarterly Report document.
  - Copy of the purchase document (STD.65 or Standard Agreement for IT goods and services STD.213) for each reported transaction.
  - Copy of the approved NCB Contract Justification for each respective purchase document.
- 

### 12.2.4 Reporting no activity

Departments are required to submit an NCB contract quarterly report even though there has not been any NCB activity during a given reporting period. In those cases, departments check the appropriate box located in the upper right hand corner of the NCB contract quarterly report under “Reporting Period” identifying:

“No NCB transactions processed during this reporting period.”

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### 12.2.5 Non-reportable transactions

Departments must not report the following types of transactions on the NCB Contract Quarterly Report:

- Transactions valued at less than \$5,000.00 unless awarded as an NCB.
  - Leveraged Procurement Agreements orders unless awarded as an NCB and executed under the department’s purchasing authority:
    - CMAS
    - Master Agreements, including Western States Contracting Alliance
    - Statewide contracts
    - State Price Schedules
  - Emergency Purchases (Form 42) authorized by DGS/PD.
  - For departments with purchasing authority exceeding \$25,000, NCB contracts approved by DGS/PD and executed by the department.
  - Transactions(s) for non-IT services.
  - Purchase Estimates (STD.66) submitted to DGS/PD for processing.
  - Purchase documents issued by DGS/PD on a department’s behalf.
  - Transaction(s) \$100.00 and under.
  - Prison Industry Authority (PIA) orders.
  - Community Rehabilitation Program (CRP) orders.
  - Opportunity Purchases (District Agricultural Associations only).
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## Topic 2 – Non-Competitively Bid (NCB) Contract Quarterly Reporting, Continued

### 12.2.6 Required actions

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Departments with NCB contract approval authority must:

- Submit NCB contract quarterly reports in a timely fashion.
- Completely and adequately justify NCB contract.
- Obtain required approvals for NCB contracts.
- Execute NCB purchase documents only within the department's NCB contract approval and purchasing authorities.

**Warning:** Departments that fail to adhere to these reporting requirements could jeopardize their NCB contract approval authority, including reduction or revocation of the department's NCB contract approval purchasing authority.

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## Topic 3 – Ethnicity, Race, Gender and Minority, Women, DVBE Reporting

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### 12.3.0 Reporting suspended

**This report is suspended from department reporting until January 2008 as a result of AB 79 (Chapter 408, Statutes of 2004).**

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### 12.3.1 Reporting requirement

PCC section 10116 requires departments to capture information regarding the level of participation of business enterprises by race, ethnicity, and gender of owner in the categories of goods, services, construction and all contracts.

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### 12.3.2 Data collection

The Voluntary Statistical Data Sheet (VSDS) was developed to assist departments in data collection regarding the ethnicity, race and gender of business owners companies that have been awarded State contracts. The completion of the questionnaire is strictly on a voluntary basis. To encourage participation, departments will enclose a self-addressed envelope as an incentive for business owners to complete and return the questionnaire. The information collected from the VSDS is used to complete the Ethnicity, Race, Gender, and Minority, Women, DVBE (ERGMWDVBE) Business Ownership Report.

[Click](#) here to access the Voluntary Statistical Data Sheet.

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### 12.3.3 How to report

The results collected from the VSDS data is compiled by departments to prepare the Ethnicity, Race, Gender, and Minority, Women, DVBE Business Ownership (ERGMWDVBE) Report.

[Click](#) here to access the ERGMWDVBE Business Ownership report.

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### 12.3.4 Due date

The ERGMWDVBE Business Ownership Report must be submitted to the Governor and the Legislature no later than January 1<sup>st</sup> of each fiscal year.

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## Topic 4 – Contracting Activity Report (STD.810)

### 12.4.0 SB, micro-business and DVBE participation

As discussed in [Chapter 3](#), Socioeconomic and Environmental Programs, departments are required to place a fair share of State purchasing and contracts with SB, DVBE and micro-businesses. GC Section 14840 and Military and Veteran Code Section 999.7 require that departments report annually on the progress of these activities.

### 12.4.1 Contracting activity report

DGS/PD Small Business and DVBE Services Branch is the centralized point to complete and distribute to the Legislature and the Department of Veteran Affairs the Contracting Activity Report (STD.810) on an annual basis providing statistical information on departments' small business, micro-business and DVBE contracting activities for each fiscal year.

[Click](#) here to access the STD.810 report.

~~**Note:** Departments that do not meet the required participation goal(s) must submit an Improvement Plan(s) with the annual report.~~

### 12.4.2 Improvement plan outline

**When a department does not meet the required state contracting participation goal(s) for SB (at least 25%) and/or DVBE (at least 3%), an Improvement Plan must be developed and submitted with the annual Contracting Activity Report (STD.810). The DVBE and/or SB improvement plan(s) must be submitted with the annual Contracting Activity Report. A DVBE improvement plan must be submitted with the annual DVBE Participation Report.**

[Click here to access the Improvement Plan Outline.](#)

### 12.4.3 Due dates

Departments are required to complete and file with the DGS Report Coordinator a completed STD.810 twice during the fiscal year, a mid-year report and an annual report. These reports are due as follows:

Report	Reporting Period	Due Date to DGS/PD
Mid-Year Report	July 1 <sup>st</sup> –December 31 <sup>st</sup>	March 1 <sup>st</sup>
Annual Report	July 1 <sup>st</sup> – June 30 <sup>th</sup>	September 7 <sup>th</sup>

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## Topic 4 – Contracting Activity Report (STD.810), Continued

### 12.4.4 How to report

Departments will submit these reports to the DGS Report Coordinator as follows:

By IMS:

Z-1

DGS/Procurement Division  
Small Business and DVBE Services Branch  
Attn: STD. 810 Report Coordinator  
707 Third Street, First Floor, Room 400  
West Sacramento, CA 95605

By Mail to:

DGS/Procurement Division  
Small Business and DVBE Services Branch, First Floor, Room 400  
Attn: STD.810 Report Coordinator  
P.O. Box 989052  
West Sacramento, CA 95798-9052

Hand Delivered to:

DGS/Procurement Division  
Small Business and DVBE Services Branch  
Attn: STD. 810 Report Coordinator  
707 Third Street, First Floor, Room 400  
West Sacramento, CA 95605

## Topic 5 – Contract Award Report

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### **12.5.0** **Requirement**

In accordance with the CCR Title 2, Division 4, Chapter 5, section 8117.5, all departments will notify the Department of Fair Employment and Housing (DFEH) of any contract award in excess of \$5,000.00. This requirement shall be met by completing a Contract Award Report (STD.16) for all non-IT and IT goods and services purchase documents issued under any purchasing category (competitive, NCB, LPA, etc.).

[Click](#) here to access the STD.16.

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### **12.5.1** **How to report**

Each completed report will be mailed within 10 days of contract award as follows:

Office of Compliance  
Department of Fair Employment and Housing  
2014 T Street, Suite 210  
Sacramento, CA 95814-6835

A copy of the completed form will be retained in the department's procurement file.

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## Topic 6 – Report of Independent Contractor(s)

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### **12.6.0** **Reporting on** **independent** **contractors**

California's Unemployment Insurance Code section 1088.8 requires businesses and government entities to report specified information to the Employment Development Department (EDD) on independent contractors. The information gathered as a result of this report assists EDD in locating parents delinquent in child support obligations.

[Click](#) here to access the Report of Independent Contractors (DE 542).

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### **12.6.1** **How to** **report**

Departments must report to EDD within twenty (20) days of either making payments totaling \$600 or more OR entering into a contract for \$600 or more with an independent contractor in any calendar year, whichever occurs first.

Reports must be submitted as follows:  
Employment Development Department  
P.O. Box 997350 MIC 99  
Sacramento, CA 95899-7350

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### **12.6.2** **Questions**

Departments with questions regarding independent contractor determinations should contact either their department's human resources section or EDD for assistance. Departments should also review GC section 19130(c) for compliance.

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### **12.6.3** **Additional** **information**

[Click](#) here for additional information located on EDD's web page.

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## Topic 7 – Consulting Services Contract Report

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### **12.7.0** **Reporting** **consulting** **services**

PCC section 10359 requires departments to report on an annual basis all consulting services contracts that have been entered into, amended or completed during each fiscal year.

[Click](#) here to access the Consulting Services Contract Report.

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### **12.7.1** **Definition**

PCC section 10335.5 defines “Consulting Service Contracts” as services of an advisory nature, where the final product is a transmittal of information in either written or verbal form. The product may be answers to questions, the design of systems or plans, workshops, seminars, retreats or conferences for which paid expertise is retained by contract.

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### **12.7.2** Due **date**

The Consulting Services Contract Report must be submitted to the following entities by September 24<sup>th</sup> of each year.

- DGS
  - Legislative Analyst
  - Department of Finance
  - Auditor General
  - Joint Legislative Budget Committee
  - Senate Appropriations Committee
  - Assembly Appropriations Committee
- 

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## Topic 7 – Consulting Services Contract Report, Continued

### 12.7.3 How to report

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The completed report for DGS will be submitted to the attention of: |

By IMS to: |

Z-1

DGS/Procurement Division

Small Business and DVBE Services Branch

Attn: Report Coordinator

707 Third Street, First Floor, Room 400

West Sacramento, CA 95605

By Mail to: |

DGS/Procurement Division

Small Business and DVBE Services Branch, First Floor, Room 400

Attn: Report Coordinator

P.O. Box 989052

West Sacramento, CA 95798-9052

Hand Delivered to:

DGS/Procurement Division

Small Business and DVBE Services Branch

Attn: Report Coordinator

707 Third Street, First Floor, Room 400

West Sacramento, CA 95605

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## Topic 8 – Late Payment Penalty Report

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### **12.8.0 Report requirements**

The Prompt Payment Act, GC Section 927 et. seq., requires departments to submit an annual report to the DGS Director on late payment penalties that were paid during the preceding fiscal year.

[Click](#) here to access the Prompt Payment Program web page.

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### **12.8.1 How to report**

The Late Payment Penalty Report is due by September 30<sup>th</sup> as follows:

By IMS to:

Z-1

DGS/Procurement Division  
Prompt Payment Program  
707 Third Street Second Floor South  
West Sacramento, CA 95605

By Mail to:

DGS/Procurement Division  
Prompt Payment Program, Second Floor South  
P.O. Box 989052  
West Sacramento, CA 95798-9052

Hand Delivered to:

DGS/Procurement Division  
Prompt Payment Program  
707 Third Street, Second Floor South  
West Sacramento, CA 95605

[Click](#) here to access the Late Payment Penalty Report.

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## Topic 9 – State Agency Recycled Campaign Procurement Report

### 12.9.0 Suspended reporting

This report is suspended from department reporting until January 2008 as a result of AB 79 (Chapter 408, Statutes of 2004).

### 12.9.1 Report requirements

Departments are required by PCC sections 12200-12320 to report purchases annually to the California Integrated Waste Management Board (CIWMB) identifying total dollar amounts of all products purchased in each of the 12 reportable categories and the total amount spent on recycled-content products (RCP) in each reportable category.

### 12.9.2 Due date

Reports are due to CIWMB as follows:

Reporting Entity	Report Due Date
District Agricultural Associations (DAA)	March 1 <sup>st</sup> for the previous calendar year
Departments	September 1 <sup>st</sup> for the previous fiscal year

### 12.9.3 How to report

To assist departments with tracking reportable product purchases, the CIWMB has developed a Procurement Report Worksheet (**CIWB 71**). It is available in the SABRC Training Manual.

Reports must be submitted as follows:  
SABRC Assigned staff (found on reverse of form)  
CIWMB, MS 12  
P.O. Box 4025  
Sacramento, CA 95812-4025

[Click](#) here to access the worksheet and the SABRC Training Manual.

## Topic 10 – Calendar of Reports

### 12.10.1 Calendar of reports

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[Click](#) here to access the Calendar of Reports.

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